

FORM PTO-1390  
(REV. 10-2003)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371**

576P068

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

**10/506449**

INTERNATIONAL APPLICATION NO.  
PCT/JP03/02559

INTERNATIONAL FILING DATE  
5 March 2003

PRIORITY DATE CLAIMED  
7 March 2002

**TITLE OF INVENTION**

PHthalocyanine compounds, water-based ink compositions and colored products

**APPLICANT(S) FOR DO/EO/US**

Yoshinori Katoh and Isao Yamaguchi

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☒ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☒ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☒ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

**Items 11 to 20 below concern document(s) or information included:**

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A preliminary amendment.
14. ☐ An Application Data Sheet under 37 CFR 1.76.
15. ☐ A substitute specification.
16. ☐ A power of attorney and/or change of address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information:
  1. Copy of the International Search Report.
  2. Copy of Form PCT/IB/304.
  3. Copy of Form PCT/IB/308.

U.S. APPLICATION NO. <b>107506449</b>		INTERNATIONAL APPLICATION NO. PCT/JP03/02559		ATTORNEY'S DOCKET NUMBER 576P068	
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<p>21. <input checked="" type="checkbox"/> The following fees are submitted:</p> <p><b>BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):</b></p> <p>Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO. .... <b>\$1080.00</b></p> <p>International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO ..... <b>\$920.00</b></p> <p>International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... <b>\$770.00</b></p> <p>International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... <b>\$730.00</b></p> <p>International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) ..... <b>\$100.00</b></p> <p style="text-align: right;"><b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b></p>				<b>CALCULATIONS PTO USE ONLY</b>	
<p>Surcharge of <b>\$130.00</b> for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(e)).</p>				<p>\$ 920.00</p> <p>\$ -</p>	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$	
Total claims	29 - 20 =	9	x <b>\$18.00</b>	\$	162.00
Independent claims	4 - 3 =	1	x <b>\$86.00</b>	\$	86.00
MULTIPLE DEPENDENT CLAIM(S) (if applicable)				+	<b>\$290.00</b>
<b>TOTAL OF ABOVE CALCULATIONS =</b>				\$	1,458.00
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				\$	-
<b>SUBTOTAL =</b>				\$	1,458.00
<p>Processing fee of <b>\$130.00</b> for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)).</p>				\$	-
<b>TOTAL NATIONAL FEE =</b>				\$	1,458.00
<p>Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). <b>\$40.00</b> per property +</p>				\$	40.00
<b>TOTAL FEES ENCLOSED =</b>				\$	1,498.00
				<b>Amount to be refunded:</b>	\$
				<b>charged:</b>	\$

a. ☒ A check in the amount of \$ 1,458.00 & 40.00 to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees.  
A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any  
overpayment to Deposit Account No. 14-0930. A duplicate copy of this sheet is enclosed.


d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card  
information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

**NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137 (a)  
or (b)) must be filed and granted to restore the application to pending status.**

SEND ALL CORRESPONDENCE TO:

Nields & Lemack  
176 E. Main Street  
Suite 7  
Westboro, MA 01581

  
 \_\_\_\_\_  
 SIGNATURE  
 Kevin S. Lemack  
 \_\_\_\_\_  
 NAME  
 32,579  
 \_\_\_\_\_  
 REGISTRATION NUMBER

Attorney Docket No. 576P068

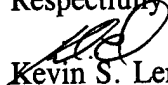
IN THE UNITED STATES PATENT AND TRADEMARK OFFICEIn re application of: **Yoshinori Katoh and Isao Yamaguchi**For: **PHTHALOCYANINE COMPOUNDS, WATER-BASED INK COMPOSITIONS AND  
COLORED PRODUCTS****Mail Stop: PCT**Commissioner of Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450  
Sir:LETTER

The above-identified applicants enclose for filing the national phase of a PCT patent application (PCT/JP03/02559) entitled "PHTHALOCYANINE COMPOUNDS, WATER-BASED INK COMPOSITIONS AND COLORED PRODUCTS". Said attached PCT patent application includes (1) Transmittal Letter to the United States Designated/Elected Office (DO/EO/US) Concerning a Filing Under 35 U.S.C. 371 (2-Pages); (2) Translation of the International Application into English: 47-Page Specification (including 4-Pages of Claims (25) and 1-Page Abstract) and 1-sheet of A4 size formal drawing; (3) Executed Declaration (2-Pages); (4) Check in the amount of \$1,458.00 in payment of the Filing Fee; (5) Copy of the International Search Report (1-page); (6) Recordation Form Cover Sheet (1-Page), Assignment (2-Pages); (7) Check in the amount of \$40.00 in payment of the Recording Fee; (8) Copy of the Notice Informing the Applicant of the Communication of the International Application to the Designated Offices (Form PCT/IB/308)(1-Page); and (9) Copy of the Notification Concerning Submission of Priority Document (Form PCT/IB/304)(1-Page).

All correspondence concerning this application should be mailed to: **CUSTOMER NO: 42754**

**Kevin S. Lemack  
Nields & Lemack  
176 E. Main Street - Suite 7  
Westboro, Massachusetts 01581**

Respectfully submitted,

  
Kevin S. Lemack  
Attorney for Applicant  
Registration No. 32,579

Date: September 1, 2004  
**EXPRESS MAIL NO: ER 908003943 US**

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

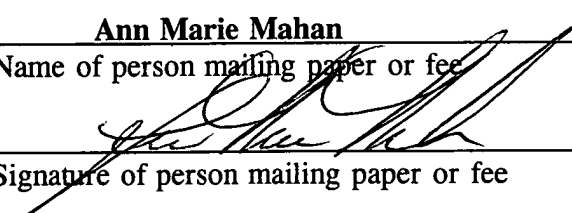
Applicants : Yoshinori Katoh et al.  
Serial No. : Not yet assigned (PCT/JP03/02559)  
Filed : Herewith By Express Mail (5 March 2003)  
For : PHTHALOCYANINE COMPOUNDS, WATER-BASED INK  
COMPOSITIONS AND COLORED PRODUCTS  
Examiner : Not yet assigned  
Art Unit : Not yet assigned  
Attorney  
Docket No. : 576P068  
Type of paper : Assignment

"EXPRESS MAIL" MAILING LABEL NO ER 908003943 US  
DATE OF DEPOSIT: September 1, 2004

I hereby certify that this patent application is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" Service under 37 CFR 1.10 on the date indicated above and is addressed to: Commissioner for Patents, P.O. Box 1450, Mail Stop: PCT, Alexandria, VA 22313-1450.

Ann Marie Mahan

Name of person mailing paper or fee

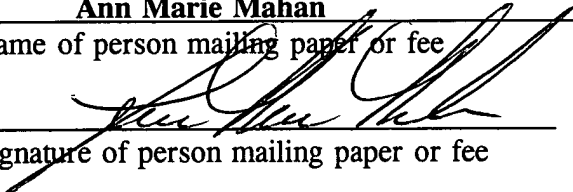
  
Signature of person mailing paper or fee

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Yoshinori Katoh et al.  
Serial No. : Not yet assigned (PCT/JP03/02559)  
Filed : Herewith By Express Mail (5 March 2003)  
For : PHTHALOCYANINE COMPOUNDS, WATER-BASED INK  
COMPOSITIONS AND COLORED PRODUCTS  
Examiner : Not yet assigned  
Art Unit : Not yet assigned  
Attorney  
Docket No. : 576P068  
Type of paper : Recording Fee

"EXPRESS MAIL" MAILING LABEL NO ER 908003943 US  
DATE OF DEPOSIT: September 1, 2004

I hereby certify that this patent application is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" Service under 37 CFR 1.10 on the date indicated above and is addressed to: Commissioner for Patents, P.O. Box 1450, Mail Stop: PCT, Alexandria, VA 22313-1450.

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Name of person mailing paper or fee  
  
Signature of person mailing paper or fee

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

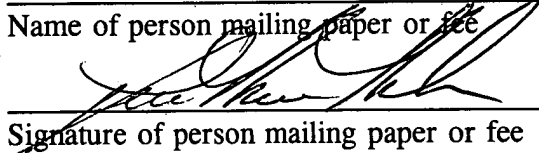
Applicants : Yoshinori Katoh et al.  
Serial No. : Not yet assigned (PCT/JP03/02559)  
Filed : Herewith By Express Mail (5 March 2003)  
For : PHTHALOCYANINE COMPOUNDS, WATER-BASED INK  
COMPOSITIONS AND COLORED PRODUCTS  
Examiner : Not yet assigned  
Art Unit : Not yet assigned  
Attorney  
Docket No. : 576P068  
Type of paper : Filing Fee

"EXPRESS MAIL" MAILING LABEL NO ER 908003943 US  
DATE OF DEPOSIT: September 1, 2004

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Signature of person mailing paper or fee

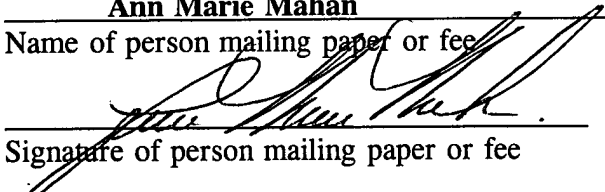
DT03 Rec'd PCT/PTO 01 SEP 2004

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Yoshinori Katoh et al.  
Serial No. : Not yet assigned (PCT/JP03/02559)  
Filed : Herewith By Express Mail (5 March 2003)  
For : PHTHALOCYANINE COMPOUNDS, WATER-BASED INK  
COMPOSITIONS AND COLORED PRODUCTS  
Examiner : Not yet assigned  
Art Unit : Not yet assigned  
Attorney  
Docket No. : 576P068  
Type of paper : Letter

"EXPRESS MAIL" MAILING LABEL NO ER 908003943 US  
DATE OF DEPOSIT: September 1, 2004

I hereby certify that this patent application is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" Service under 37 CFR 1.10 on the date indicated above and is addressed to: Commissioner for Patents, P.O. Box 1450, Mail Stop: PCT, Alexandria, VA 22313-1450.

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Signature of person mailing paper or fee

DT05 Rec'd PCT/PTO 01 SEP 2004

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Yoshinori Katoh et al.  
Serial No. : Not yet assigned (PCT/JP03/02559)  
Filed : Herewith By Express Mail (5 March 2003)  
For : PHTHALOCYANINE COMPOUNDS, WATER-BASED INK  
COMPOSITIONS AND COLORED PRODUCTS  
Examiner : Not yet assigned  
Art Unit : Not yet assigned  
Attorney  
Docket No. : 576P068  
Type of paper : Transmittal Letter to the United States Designated/Elected Office  
(DO/EO/US) Concerning A Filing Under 35 U.S.C. 371

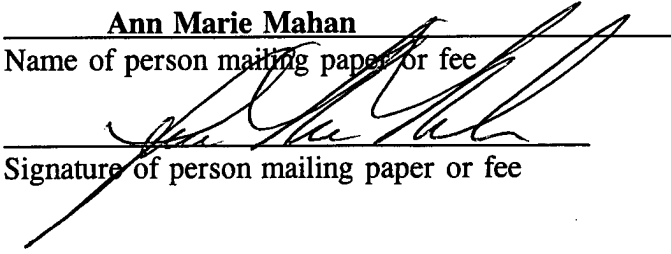
"EXPRESS MAIL" MAILING LABEL NO ER 908003943 US

DATE OF DEPOSIT: September 1, 2004

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Ann Marie Mahan

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Signature of person mailing paper or fee

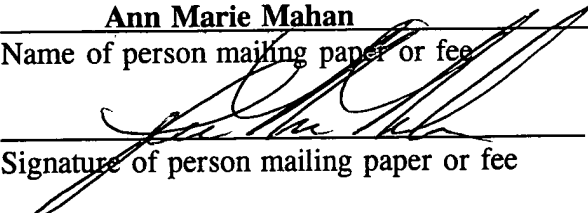


IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Yoshinori Katoh et al.  
Serial No. : Not yet assigned (PCT/JP03/02559)  
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For : PHTHALOCYANINE COMPOUNDS, WATER-BASED INK  
COMPOSITIONS AND COLORED PRODUCTS  
Examiner : Not yet assigned  
Art Unit : Not yet assigned  
Attorney  
Docket No. : 576P068  
Type of paper : Translation of the International Application into English

"EXPRESS MAIL" MAILING LABEL NO ER 908003943 US  
DATE OF DEPOSIT: September 1, 2004

I hereby certify that this patent application is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" Service under 37 CFR 1.10 on the date indicated above and is addressed to: Commissioner for Patents, P.O. Box 1450, **Mail Stop: PCT**, Alexandria, VA 22313-1450.

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

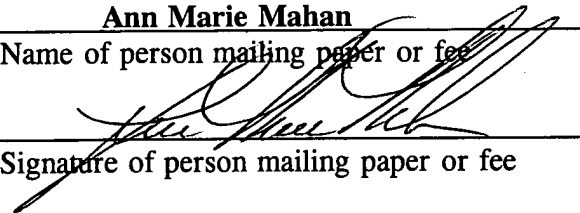
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For : PHTHALOCYANINE COMPOUNDS, WATER-BASED INK  
COMPOSITIONS AND COLORED PRODUCTS  
Examiner : Not yet assigned  
Art Unit : Not yet assigned  
Attorney  
Docket No. : 576P068  
Type of paper : Executed Declaration

"EXPRESS MAIL" MAILING LABEL NO ER 908003943 US  
DATE OF DEPOSIT: September 1, 2004

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Ann Marie Mahan

Name of person mailing paper or fee

  
Signature of person mailing paper or fee

DTOS Rec'd PCT/PTO 01 SEP 2004

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

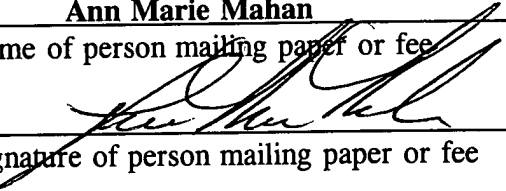
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COMPOSITIONS AND COLORED PRODUCTS  
Examiner : Not yet assigned  
Art Unit : Not yet assigned  
Attorney  
Docket No. : 576P068  
Type of paper : Copy of the Notification Concerning Submission or Transmittal of  
Priority Document (Form PCT/IB/304)

"EXPRESS MAIL" MAILING LABEL NO ER 908003943 US  
DATE OF DEPOSIT: September 1, 2004

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Ann Marie Mahan

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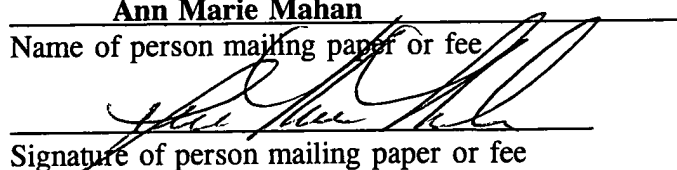
  
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Examiner : Not yet assigned  
Art Unit : Not yet assigned  
Attorney  
Docket No. : 576P068  
Type of paper : Copy of the International Search Report

"EXPRESS MAIL" MAILING LABEL NO ER 908003943 US  
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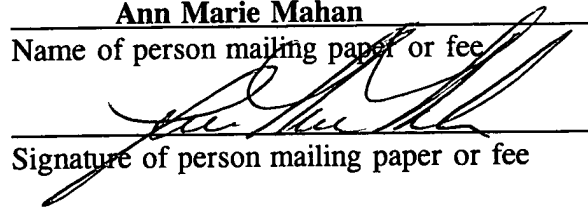
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Examiner : Not yet assigned  
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Attorney  
Docket No. : 576P068  
Type of paper : Copy of the Notice Informing the Applicant of the Communication  
of the International Application to the Designated Offices  
(Form PCT/IB/308)

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